



RECEIPT
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PATENT

Attorney Docket No. 066990.0102

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:)

Nancy George)

Serial No. 09/627,232)

Filed: July 27, 2000)

For: COMPLIANCE DATA MANAGEMENT)
SYSTEMS AND METHODS)

Examiner: To Be Assigned

Group Art Unit 2755

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OCT 23 2000
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REQUEST FOR CORRECTED OFFICIAL FILING RECEIPT

Commissioner for Patents

**Box: Application Processing Division's
Customer Correction Branch**

U.S. Patent and Trademark Office
Washington, D.C. 20231

Sir:

Applicant respectfully requests that the U.S. Patent and Trademark Office (PTO) issue a Corrected Official Filing Receipt in the above-captioned patent application. The attorney docket number of the above-captioned patent application is incorrectly recorded on the Official Filing Receipt (OFR). The correct attorney docket number is 066990.0102.

Applicant support this request for correction by enclosing a copy of the Application For Patent Cover Sheet (see highlighted attorney docket number), and a copy of the date stamped postcard. Applicant also is enclosing a copy of the OFR with the correction marked in red. Applicant respectfully requests that the PTO make the appropriate correction to its records and issues a new OFR.

No fees are included with this submission. However, in the event that the PTO

determines that fees are due, please charge the undersigned's Deposit Account No. 02-0375.

Respectfully submitted,
BAKER BOTTS L.L.P.

Dated: October 3, 2000

By: 

James B. Arpin
Registration No. 33,470

Baker Botts L.L.P.
The Warner; Suite 1300
1299 Pennsylvania Avenue, N.W.
Washington, D.C. 20004-2400
Tel: (202) 639-7700
Fax: (202) 639-7890

JBA/dh

Enclosures



UNITED STATES PATENT AND TRADEMARK OFFICE

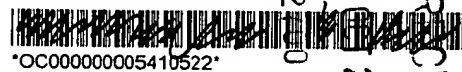
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UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/627,232	07/27/2000	2755	345	066990-0120 066990-0102	6	19	2

Baker Botts LLP
The Warner
1299 Pennsylvania Avenue N W
Washington, DC 20004-2400



FILING RECEIPT



Date Mailed: 09/19/2000

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Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Nancy George, Towson, MD ;

Continuing Data as Claimed by Applicant

Foreign Applications

If Required, Foreign Filing License Granted 09/13/2000

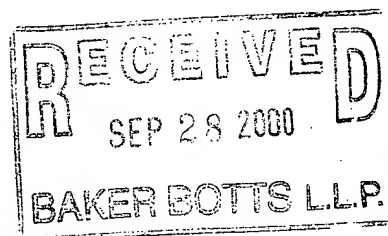
** SMALL ENTITY **

Title

Compliance data management systems and methods

Preliminary Class

709



DOCKETED
LHP

Data entry by : BEGUM, SHAMIMA

Team : OIPE

Date: 09/19/2000





LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15

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The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 36 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15 (b).

PLEASE NOTE the following information about the Filing Receipt:

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents
Office of Initial Patent Examination
Customer Service Center
Washington, DC 20231

07/27/00
3c803 U.S. PTO

FEE TRANSMITTAL
BOX PATENT APPLICATION

Stamp: PATENT & TRADEMARK OFFICE OCT 03 2000

Complete If Known

Application No.	To Be Assigned
Filing Date	July 27, 2000
First Named Inventor	Nancy Fox GEORGE
Examiner Name	To Be Assigned
Group Art Unit	To Be Assigned

Total Amount Of Payment (\$) **345.00**

Attorney Docket No. **066990.0102**

METHOD OF PAYMENT (check one)

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to **Deposit Account No. 02-0375** in the name of Baker Botts L.L.P.
2. ☒ Check Enclosed. The Commissioner is hereby authorized to charge any variance between the amount enclosed and the Patent Office charges to **Deposit Account No. 02-0375** in the name of Baker Botts L.L.P., The Warner, Suite 1300, 1299 Pennsylvania Avenue, N.W., Washington, D.C. 20004-2400.

FEE CALCULATION

1. BASIC FILING FEE	<input type="checkbox"/> Large Entity	<input checked="" type="checkbox"/> Small Entity
FEE PAID		
Utility Filing Fee	\$	345.00
Design Filing Fee	\$	
Plant Filing Fee	\$	
Reissue Filing Fee	\$	
Provisional Filing Fee	\$	

FEE CALCULATION (Continued)

3. **ADDITIONAL FEES**
- Fee Description
- ☐ Surcharge - late filing fee or oath
 - ☐ Surcharge - late provisional filing fee or cover sheet
 - ☐ Extension for reply with _____ month(s)
 - ☐ Notice of Appeal
 - ☐ Filing Brief in Support of Appeal
 - ☐ Request for Oral Hearing
 - ☐ Utility Issue Fee (or reissue)
 - ☐ Design Issue Fee
 - ☐ Plant Issue Fee
 - ☐ Petitions to Commissioner
 - ☐ Petition to Revive (unavoidable)
 - ☐ Petition to Revive (unintentional)
 - ☐ Petitions Related to Provisional Applications
 - ☐ Submission of Information Disclosure Statement
 - ☐ Filing Submission After Final Rejection
 - ☐ Recording Each Patent Assignment Per Property
 - ☐ Filing Request for Reexamination
 - ☐ Other (specify) _____

2. EXTRA CLAIMS FEES

CLAIMS AS AMENDED

For	Number Present	Highest Number Paid For	Extra	Rate		Amount
				Large Entity	Small Entity	
TOTAL CLAIMS	19	20	0	x \$ 18.00	x \$ 9.00	\$ 0.00
INDEPENDENT CLAIMS	2	3	0	x \$ 78.00	x \$ 39.00	\$ 0.00
MULTIPLE DEPENDENT CLAIMS				\$ 260.00	\$ 130.00	\$ 0.00
TOTAL EXTRA CLAIMS FEES						\$ 0.00

SUBMITTED BY		Complete (if applicable)	
Typed or Printed Name	Trevor Q. Coddington	Registration No.	P46,633
Signature	<i>Trevor Q. Coddington</i>	Date	July 27, 2000

BAKER BOTTS



July 27, 2000

THE WARNER
1299 PENNSYLVANIA AVE., NW
WASHINGTON, DC
20004-2400
202.639.7700
FAX 202.639.7890

AUSTIN
BAKU
DALLAS
HOUSTON
LONDON
MOSCOW
NEW YORK
WASHINGTON

UTILITY PATENT APPLICATION TRANSMITTAL

Attorney Docket Number: 066990.0102
First Named Inventor: Nancy Fox GEORGE
Title: COMPLIANCE DATA MANAGEMENT SYSTEMS AND METHODS

TO: **BOX PATENT APPLICATION**
Commissioner for Patents
Washington, D.C. 20231

Sir:

Attached are the following for filing with the U.S. Patent and Trademark Office:

1. ☒ Fee Transmittal Form (original and duplicate)
2. ☒ Specification - Total Pages: 16 (Including Abstract)

CLAIMS AS FILED						
	Claims Filed	Basic Fee Claims	Extra	Rate		Amount
				Large Entity	Small Entity	
Total Claims	19	20	0	\$ 18.00	\$ 9.00	\$ 0.00
Independent Claims	2	3	0	\$ 78.00	\$ 39.00	\$ 0.00
First Presentation of Multiple Dependent Claims				\$ 260.00	\$ 130.00	\$ 0.00
BASIC FEE				\$ 690.00	\$ 345.00	\$ 345.00
TOTAL FILING FEE						\$ 345.00

3. ☒ Drawings - Total Sheets: 6 (Fig(s). 1-6)
4. Oath or Declaration - Total Pages: 2
 - a. ☒ Newly executed (original or copy)
☐ New (unexecuted)
 - b. ☐ Copy from a prior application
(for continuation/divisional with Box 17 completed)
 - i. ☐ DELETION OF INVENTOR(s):
Signed statement attached deleting inventor(s) named in prior application.

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☒ **UTILITY**

Application No.: To Be Assigned
Client/Matter No.: 066990.0102
Inventor(s): Nancy Fox GEORGE
Title: COMPLIANCE DATA MANAGEMENT SYSTEMS AND METHODS



**DOCKETED
PATENT**

Date: July 27, 2000
Client: Medical Software
Atty/Sec.: TQC:nej

The following has been received in the U.S. Patent and Trademark Office on the date stamped hereon:

- ☒ PTO Fee Transmittal (in duplicate)
- ☒ PTO Utility Patent Application Transmittal Letter
- ☒ Utility Application including 16 pages of specification (incorporating 19 claims and an abstract)
- ☒ Six (6) sheets of drawings (Figs. 1-6)
- ☒ Executed Declaration For Patent Application
- ☒ Executed Verified Statement Claiming Small Entity Status
- ☒ Early Serial Number Notification Postcard with Postage
- ☒ Check No. 5949 in the amount of \$345.00.

#2

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Bib Data Sheet

SERIAL NUMBER 09/627,232	FILING DATE 07/27/2000 RULE -	CLASS 709	GROUP ART UNIT 2755	ATTORNEY DOCKET NO. 066990.0102	
APPLICANTS Nancy George, Towson, MD ; ** CONTINUING DATA ***** ** FOREIGN APPLICATIONS ***** IF REQUIRED, FOREIGN FILING LICENSE GRANTED ** 09/13/2000					
Foreign Priority claimed <input type="checkbox"/> yes <input type="checkbox"/> no 35 USC 119 (a-d) conditions met <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Met after Allowance Verified and Acknowledged _____ Examiner's Signature _____ Initials _____		STATE OR COUNTRY MD	SHEETS DRAWING 6	TOTAL CLAIMS 19	INDEPENDENT CLAIMS 2
ADDRESS Baker Botts LLP The Warner 1299 Pennsylvania Avenue N W Washington ,DC 20004-2400					
TITLE Compliance data management systems and methods					
FILING FEE RECEIVED 345	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following:		<input type="checkbox"/> All Fees <input type="checkbox"/> 1.16 Fees (Filing) <input type="checkbox"/> 1.17 Fees (Processing Ext. of time) <input type="checkbox"/> 1.18 Fees (Issue) <input type="checkbox"/> Other _____ <input type="checkbox"/> Credit		